

MAY 07 2002

RECORDATION FORM COVER SHEET PATENTS ONLY

COPY

To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.

1. Name of conveying party(ies)

- | | |
|----------------------------|------------------------|
| 1) Christina Lampe-Onnerud | 5) Richard Chamberlain |
| 2) Per Onnerud | 6) Tomoyoshi Koizumi |
| 3) Dmitri Novikov | 7) Aisaku Nagai |
| 4) Jie Shi | |

Additional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

2. Name and address of receiving party(ies)

Name: Kureha Chemical Industry Co., Ltd.

Internal Address: _____

3. Nature of conveyance:

- ☒ Assignment ☐ Merger
☐ Security Agreement ☐ Change of Name
☐ Other _____

Execution Date: 1) - 5): 03/22/02; 6) and 7): 03/18/02

Street Address: 1-9-11, Nihonbashi-Horidomecho, Chuo-ku

City: Tokyo State: Japan ZIP: 103-8552

Additional name(s) & address(es) attached? ☐ Yes ☒ No

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is: _____

A. Patent Application No.(s)

10/073,678

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: N. Scott Pierce

Internal Address: _____

Hamilton, Brook, Smith & Reynolds, P.C.

Street Address: 530 Virginia Road, P.O. Box 9133

City: Concord State: MA ZIP: 01742-9133

6. Total number of applications and patents involved: [1]

7. Total Fee (37 C.F.R. 3.41)..... \$ 40.00

- ☒ Enclosed
☒ Authorized to charge any deficiencies or credit any overpayment to deposit account
☐ Authorized to be charged to deposit account

8. Deposit account number:

08-0380

(Attach duplicate copy of this page if paying by deposit account)

DO NOT USE THIS SPACE

9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

N. Scott Pierce

Name of Person Signing

[Signature]
Signature

3/26/02
Date

Total number of pages including cover sheet, attachments, and document: [8]

COPY

Docket No. 3243.1000-001

Multi-Joint

ASSIGNMENT

WHEREAS, we, **Christina Lampe-Onnerud, Per Onnerud, Dmitri Novikov, Jie Shi and Richard Chamberlain**, together with co-inventors **Tomoyoshi Koizumi and Aisaku Nagai**, have invented a certain improvement in **Cathode Material for Lithium Rechargeable Batteries**, described in an application for Letters Patent of the United States, the specification of which:

☐ is being executed on even date herewith and is about to be filed in the United States Patent Office;

☒ was filed on **February 11, 2002** as Application No. **10/073,678**;

☐ was patented under U.S. Patent No. ☐ on ☐.

WHEREAS, **Kureha Chemical Industry, Co., Ltd.** (hereinafter "ASSIGNEE"), a corporation organized and existing under the laws of **Japan**, and having a usual place of business at **1-9-11, Nihonbashi-Horidomecho, Chuo-ku, Tokyo 103-8552, Japan**, desires to acquire an interest therein in accordance with agreements duly entered into with us;

NOW, THEREFORE, to all whom it may concern be it known that for and in consideration of said agreements and of other good and valuable consideration, the receipt of which is hereby acknowledged, we have sold, assigned and transferred and by these presents do hereby sell, assign and transfer unto said ASSIGNEE, its successors, assigns and legal representatives, our entire right, title and interest in and throughout the United States of America, its territories and all foreign countries, in and to said invention as described in said application, together with our entire right, title and interest in and to said application and such Letters Patent as may issue thereon; said invention, application and Letters Patent to be held and enjoyed by said ASSIGNEE for its own use and behalf and for its successors, assigns and legal representatives, to the full end of the term for which said Letters Patent may be granted as fully and entirely as the same would have been held by us had this assignment and sale not been made; we hereby convey all rights arising under or pursuant to any and all international agreements, treaties or laws relating to the protection of industrial property by filing any such applications for Letters Patent. We hereby acknowledge that this assignment, being of our entire right, title and interest in and to said invention, carries with it the right in ASSIGNEE to apply for and obtain from competent authorities in all countries of the world any and all Letters Patent by attorneys and agents of ASSIGNEE's selection and the right to procure the grant of all such Letters Patent to ASSIGNEE for its own name as assignee of the entire right, title and interest therein;

AND, we hereby further agree for ourselves and our executors and administrators to execute upon request any other lawful documents and likewise to perform any other lawful acts which may be deemed necessary to secure fully the aforesaid invention to said ASSIGNEE, its successors, assigns and legal representatives, but at its or their expense and charges, including the execution of applications for patents in foreign countries, and the execution of substitution, reissue, divisional or continuation applications and preliminary or other statements and the giving

of testimony in any interference or other proceeding in which said invention or any application or patent directed thereto may be involved;

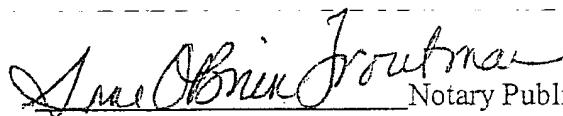
AND, we do hereby authorize and request the Commissioner of Patents of the United States to issue such Letters Patent as shall be granted upon said application or applications based thereon to said ASSIGNEE, its successors, assigns, and legal representatives.

IN TESTIMONY WHEREOF, we have hereunto set our hands and affixed our seals the date set forth below.

Inventor: 
Christina Lampe-Onnerud

State/Commonwealth
of Massachusetts
County of Middlesex


Then personally appeared before me the above-named **Christina Lampe-Onnerud** and acknowledged that he/she executed the foregoing instrument as his/her free act and deed this 22nd day of March, 2002.


Notary Public

(SEAL)

(print name)

My Commission expires 1/24/03

Inventor: 
Per Onnerud

State/Commonwealth

of Massachusetts

County of Middlesex

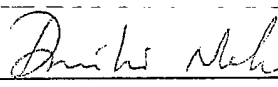
Then personally appeared before me the above-named **Per Onnerud** and acknowledged that he/she executed the foregoing instrument as his/her free act and deed this 22 day of March, 2002

 Notary Public

(SEAL)

_____(print name)

My Commission expires 1 / 24 / 03

Inventor: 
Dmitri Novikov

State/Commonwealth

of Massachusetts

County of Middlesex

Then personally appeared before me the above-named **Dmitri Novikov** and acknowledged that he/she executed the foregoing instrument as his/her free act and deed this 22 day of March, 2002

 Notary Public

(SEAL)

_____(print name)

My Commission expires 1 / 24 / 03

Inventor: _____

Jie Shi

State/Commonwealth _____

of Massachusetts

County of Middlesex

Then personally appeared before me the above-named **Jie Shi** and acknowledged that he/she executed the foregoing instrument as his/her free act and deed this 22 day of March, 2002.

Lawrence J. Froun

Notary Public

(SEAL)

(print name)

My Commission expires 1/24/03

Inventor: _____

Richard Chamberlain

State/Commonwealth _____

of Massachusetts

County of Middlesex

Then personally appeared before me the above-named **Richard Chamberlain** and acknowledged that he/she executed the foregoing instrument as his/her free act and deed this 22 day of March, 2002.

Lawrence J. Froun

Notary Public

(SEAL)

(print name)

My Commission expires 1/24/03

COPYMulti-JointASSIGNMENT

WHEREAS, we, Tomoyoshi Koizumi and Aisaku Nagai, together with co-inventors Christina Lampe-Onnerud, Per Onnerud, Dmitri Novikov, Jie Shi and Richard Chamberlain, have invented a certain improvement in Cathode Material for Lithium Rechargeable Batteries, described in an application for Letters Patent of the United States, the specification of which:

☐ is being executed on even date herewith and is about to be filed in the United States Patent Office;

☒ was filed on February 11, 2002 as Application No. 10/073,678;

☐ was patented under U.S. Patent No. [] on [].

WHEREAS, Kureha Chemical Industry, Co., Ltd. (hereinafter "ASSIGNEE"), a corporation organized and existing under the laws of Japan, and having a usual place of business at 1-9-11, Nihonbashi-Horidomecho, Chuo-ku, Tokyo 103-8552, Japan, desires to acquire an interest therein in accordance with agreements duly entered into with us;

NOW, THEREFORE, to all whom it may concern be it known that for and in consideration of said agreements and of other good and valuable consideration, the receipt of which is hereby acknowledged, we have sold, assigned and transferred and by these presents do hereby sell, assign and transfer unto said ASSIGNEE, its successors, assigns and legal representatives, our entire right, title and interest in and throughout the United States of America, its territories and all foreign countries, in and to said invention as described in said application, together with our entire right, title and interest in and to said application and such Letters Patent as may issue thereon; said invention, application and Letters Patent to be held and enjoyed by said ASSIGNEE for its own use and behalf and for its successors, assigns and legal representatives, to the full end of the term for which said Letters Patent may be granted as fully and entirely as the same would have been held by us had this assignment and sale not been made; we hereby convey all rights arising under or pursuant to any and all international agreements, treaties or laws relating to the protection of industrial property by filing any such applications for Letters Patent. We hereby acknowledge that this assignment, being of our entire right, title and interest in and to said invention, carries with it the right in ASSIGNEE to apply for and obtain from competent authorities in all countries of the world any and all Letters Patent by attorneys and agents of ASSIGNEE's selection and the right to procure the grant of all such Letters Patent to ASSIGNEE for its own name as assignee of the entire right, title and interest therein;

AND, we hereby further agree for ourselves and our executors and administrators to execute upon request any other lawful documents and likewise to perform any other lawful acts which may be deemed necessary to secure fully the aforesaid invention to said ASSIGNEE, its successors, assigns and legal representatives, but at its or their expense and charges, including the execution of applications for patents in foreign countries, and the execution of substitution, reissue, divisional or continuation applications and preliminary or other statements and the giving

of testimony in any interference or other proceeding in which said invention or any application or patent directed thereto may be involved;

AND, we do hereby authorize and request the Commissioner of Patents of the United States to issue such Letters Patent as shall be granted upon said application or applications based thereon to said ASSIGNEE, its successors, assigns, and legal representatives.

Inventor Tomoyoshi Koizumi Date March 18, 2002
Tomoyoshi Koizumi

Address 5-7-5, Nakaoaka-machi, Iwaki-shi

Fukushima, 974-8251, Japan

Witness Yoichi Kiyosuke March 18, 2002
Yoichi Kiyosuke

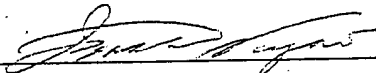
Address 7-8-11-901, Kishi-cho, Saitama-shi

Saitama, 336-0012, Japan

Witness Ken'ichi Nakamura March 18, 2002
Ken'ichi Nakamura

Address 4-32, Sakuta, Shisawa, Nakoso-machi, Iwaki-shi

Fukushima, 979-0145, Japan

Inventor  Date Mar. 18, 2002
Aisaku Nagai

Address 2-2-12, Hon-cho, Ueda-machi, Iwaki-shi
Fukushima, 974-8261, Japan

Witness Yoichi Kiyosuke March 18, 2002
Yoichi Kiyosuke

Address 7-8-11-901, Kishi-cho, Saitama-shi
Saitama, 336-0012, Japan

Witness Ken'ichi Nakamura March 18, 2002
Ken'ichi Nakamura

Address 4-32, Sakuta, Shisawa, Nakoso-machi, Iwaki-shi
Fukushima, 979-0145, Japan

#3

DOCKET NO. 3243,1000-001

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Declaration for Patent Application☐ Supplemental (37 C.F.R. §1.67)

As a named inventor, I hereby declare that:

My residence, mailing address and citizenship are as stated next to my name;

I believe I am the original, first and sole inventor (if only one name is listed) or an original, first and joint inventor (if plural names are listed in the signatory page(s) commencing at page 2 hereof) of the subject matter which is claimed and for which a patent is sought on the invention entitled

CATHODE MATERIAL FOR LITHIUM RECHARGEABLE BATTERIES

the specification of which (check one)

☐ is attached hereto.☒ was filed on February 11, 2002 as United States ApplicationNumber or PCT International Application No. 10/073,678

and was amended on _____ (if applicable).

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 C.F.R. §1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or PCT international filing date of the continuation-in-part application.

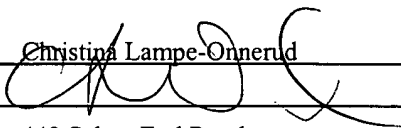
I hereby claim foreign priority benefits under 35 U.S.C. 119 or 365 of any foreign application(s) for patent or inventor's certificate, or of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate, or of any PCT international application having a filing date before that of the application on which priority is claimed:

<u>Prior Foreign Application(s)</u>			Priority Not Claimed	Certified Copy Filed?	
(Number)	(Country)	(Day/Month/Year filed)		YES	NO
_____	_____	_____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
_____	_____	_____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
_____	_____	_____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full name of sole

or first inventor Christina Lampe-Onnerud

Inventor's Signature  Date 3/22/02

Residence 449 Salem End Road

Framingham, MA 01702

Citizenship Sweden

Mailing Address same as above

Full name of second joint

inventor, if any Per Onnerud

Inventor's Signature  Date 3/22/02

Residence 449 Salem End Road

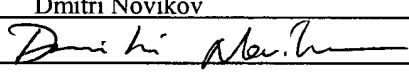
Framingham, MA 01702

Citizenship Sweden

Mailing Address same as above

Full name of third joint

inventor, if any Dmitri Novikov

Inventor's Signature  Date March 22 2002

Residence 4 Cedar Street, Apt. 304

Wellesley, MA 02481-3500

Citizenship Russia

Mailing Address same as above

Full name of fourth joint

inventor, if any Jie Shi

Inventor's Signature  Date March 22nd 2002

Residence 12 Marion Road

Acton, MA 01720

Citizenship U.S.

Mailing Address same as above

Full name of fifth joint

inventor, if any ~~Richard Chamberlain~~ Richard V. Chamberlain II

Inventor's Signature Richard V. Chamberlain II Date 3-22-02

Residence 199 Massachusetts Avenue, Apt. 1107

Boston, MA 02215 02115

Citizenship U.S.

Mailing Address same as above

Full name of sixth joint

inventor, if any Tomoyoshi Koizumi

Inventor's Signature _____ Date _____

Residence 5-7-5, Nakaoka-machi, Iwaki-shi

Fukushima, Japan 974-8251

Citizenship Japan

Mailing Address same as above

Full name of seventh joint

inventor, if any Aisaku Nagai

Inventor's Signature _____ Date _____

Residence 2-2-12 Hon-cho, Ueda-machi, Iwaki-shi

Fukushima, Japan 974-8261

Citizenship Japan

Mailing Address same as above



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Declaration for Patent Application

[] Supplemental (37 C.F.R. §1.67)

As a named inventor, I hereby declare that:

My residence, mailing address and citizenship are as stated next to my name;

I believe I am the original, first and sole inventor (if only one name is listed) or an original, first and joint inventor (if plural names are listed in the signatory page(s) commencing at page 2 hereof) of the subject matter which is claimed and for which a patent is sought on the invention entitled

CATHODE MATERIAL FOR LITHIUM RECHARGEABLE BATTERIES

the specification of which (check one)

[] is attached hereto.

[X] was filed on February 11, 2002 as United States ApplicationNumber or PCT International Application No. 10/073.678

and was amended on _____ (if applicable).

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 C.F.R. §1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or PCT international filing date of the continuation-in-part application.

I hereby claim foreign priority benefits under 35 U.S.C. 119 or 365 of any foreign application(s) for patent or inventor's certificate, or of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate, or of any PCT international application having a filing date before that of the application on which priority is claimed:

<u>Prior Foreign Application(s)</u>			<u>Priority Not Claimed</u>	<u>Certified Copy Filed?</u>	
				YES	NO
(Number) _____	(Country) _____	(Day/Month/Year filed) _____	[]	[]	[]
(Number) _____	(Country) _____	(Day/Month/Year filed) _____	[]	[]	[]
(Number) _____	(Country) _____	(Day/Month/Year filed) _____	[]	[]	[]

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full name of sole

or first inventor Christina Lampe-Onnerud

Inventor's Signature _____ Date _____

Residence 449 Salem End Road

Frammingham, MA 01702

Citizenship Sweden

Mailing Address same as above

Full name of second joint

inventor, if any Per Onnerud

Inventor's Signature _____ Date _____

Residence 449 Salem End Road

Frammingham, MA 01702

Citizenship Sweden

Mailing Address same as above

Full name of third joint

inventor, if any Dmitri Novikov

Inventor's Signature _____ Date _____

Residence 4 Cedar Street, Apt. 304

Wellesley, MA 02481-3500

Citizenship Russia

Mailing Address same as above

Full name of fourth joint

inventor, if any Jie Shi

Inventor's Signature _____ Date _____

Residence 12 Marion Road

Acton, MA 01720

Citizenship U.S.

Mailing Address same as above

Full name of fifth joint

inventor, if any Richard Chamberlain

Inventor's Signature _____ Date _____

Residence 199 Massachusetts Avenue, Apt. 1107

Boston, MA 02215

Citizenship U.S.

Mailing Address same as above

Full name of sixth joint

inventor, if any Tomoyoshi Koizumi

Inventor's Signature Tomoyoshi Koizumi

Date March 18, 2002

Residence 5-7-5, Nakaoka-machi, Iwaki-shi

Fukushima, Japan 974-8251

Citizenship Japan

Mailing Address same as above

Full name of seventh joint

inventor, if any Aisaku Nagai

Inventor's Signature Aisaku Nagai

Date Mar. 18, 2002

Residence 2-2-12 Hon-cho, Ueda-machi, Iwaki-shi

Fukushima, Japan 974-8261

Citizenship Japan

Mailing Address same as above

MAY 07 2002

**POWER OF ATTORNEY OR
AUTHORIZATION OF AGENT AND
CORRESPONDENCE ADDRESS**

Application Number	10/073,678
Filing Date	February 11, 2002
First Named Inventor	Christina Lampe-Onnerud
Group Art Unit	
Examiner Name	
Attorney Docket Number	3243.1000-001

I/We hereby appoint

☒ the attorneys/agents associated with Customer No. 021005☐ Practitioner(s) named below:

as my/our attorneys/agents to prosecute the application identified above, and to transact all business in the United States Patent and Trademark Office connected therewith.

The correspondence address for the above-identified application is:

☒ Customer Number 021005
Hamilton, Brook, Smith & Reynolds, P.C.
530 Virginia Road
P.O. Box 9133
Concord, Massachusetts 01742-9133

☐ Other _____

Please direct all telephone calls and facsimiles to:

Name N. Scott Pierce Tel. No. 978-341-0036 Fax No. 978-341-0136

I am the:

☐ Applicant/Inventor.☒ Authorized representative of the Assignee of the entire interest. See 37 C.F.R. 3.71. A Statement under 37 C.F.R. §3.73(b) is enclosed.☐ Authorized representative of an assignee together with ☐ of the entire interest. A separate Statement under 37 C.F.R. § 3.73(b) is enclosed.**SIGNATURE of Applicant or Assignee of Record**Name Yoichi KiyosukeSignature Yoichi KiyosukeDate April 1, 2002☒ Total of 1 form is submitted.

STATEMENT UNDER 37 C.F.R. § 3.73(b)Applicants: Christina Lampe-Onnerud, Per Onnerud, Dmitri Novikov, Jie Shi, Richard Chamberlain,Tomoyoshi Koizumi and Aisaku NagaiApplication No.: 10/073,678 Filed: February 11, 2002For: CATHODE MATERIAL FOR LITHIUM RECHARGEABLE BATTERIESKureha Chemical Industry Co., Ltd.

(Name of Assignee)

, a corporation

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is

- A. ☒ the assignee of the entire right, title and interest in the patent application identified above; or
- B. ☐ an assignee together with [] of the entire right, title and interest in the patent application identified above. A separate Statement under 37 CFR § 3.73(b) is being submitted.

The right, title and interest of the above-named assignee in the patent application identified above is established by virtue of:

- A. ☒ An assignment from the inventors of the patent application identified above. The assignment was recorded in the Patent and Trademark Office at Reel _____, Frame _____, or a copy thereof is attached.

OR

- B. ☐ A chain of title from the inventor(s) of the patent application identified above, to the current assignee as shown below:

1. From: _____ To: _____
The document was recorded in the Patent and Trademark Office at
Reel _____, Frame _____, or a copy thereof is attached.
2. From: _____ To: _____
The document was recorded in the Patent and Trademark Office at
Reel _____, Frame _____, or a copy thereof is attached.
3. From: _____ To: _____
The document was recorded in the Patent and Trademark Office at
Reel _____, Frame _____, or a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

Date: April 1, 2002Name: Yoichi KiyosukeTitle: General Manager, Intellectual Property DepartmentSignature: Yoichi Kiyosuke